



Office of Enterprise Compliance Report - Matrix
June 2007

Attachment A

	DATE OF ASSIGNMENT	STATUS
1. Personnel Update	Ongoing	Compliance Area Manager for the Pension line was appointed in May 2007. Interviews for Assistant Compliance Area Manager, Investments, were conducted in May.
2. Program Activities	Ongoing	CCO conducted second meeting of "The Compliance Officer Association". Sixteen attended the meeting in New Hampshire representing interested organizations. All attendees represented pension systems. The group discussed formation of a 501(c)(3) non-profit organization, creation of an association charter and by-laws. Attendees suggested future compliance related topics for quarterly meetings and suggested a fall meeting within California. CCO conducted session of CalPERS "Working Values" for New Employee Orientation.
3. Reporting Non-Compliance Issues	Ongoing	Ongoing.



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4. Compliance Area Manager - Investments	Ongoing	<p>Compliance Area Manager (CAM), Investments is monitoring daily and providing weekly summary of compliance alerts to CCO. User access to automated systems monitored and monthly reconciliation reports reviewed. Quarterly reports provided to Senior Investment Officers.</p> <p>Processes for compliance monitoring are being developed, documented, reviewed, revised, and discussed with investment staff.</p> <p>CAM participated in a compliance area panel on Derivatives and External Manager Oversight at the Association of Public Pension Fund Auditors May 2007 Conference in New Hampshire.</p> <p>CAM participated in "The Compliance Officer Association" meeting in May 2007.</p>
5. Compliance Area Manager- Health	Ongoing	<p>Compliance Area Manager (CAM), Health, is participating in the ECOM compliance risk assessment.</p> <p>Work with Health business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.</p> <p>CCO and compliance personnel conducted executive briefing with Health Branch AEO.</p>



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6. Compliance Area Manager-Pension	Ongoing	<p>Compliance Area Manager (CAM), Pension, is project leader for the ECOM compliance risk self assessment. This assessment will assist ECOM management in identifying risk exposures within ECOM. The completion date is June 30, 2007.</p> <p>Work with Pension business line to assess risk of policies, rules, and regulations to determine compliance exposures and impact to CalPERS for non-compliance.</p> <p>Processes for pension monitoring are being reviewed to develop, document and review with pension staff. Executive briefings are scheduled with Pension Business Line Leadership.</p>